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DOCKET NO.: MSFT-0310/164266.1

PATENT



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In Re Application of:

Marcus Peinado

Serial No.: 09/892,371

Group Art Unit: 2182

Filing Date: June 27, 2001

Examiner: Not Yet Assigned

For: **BINDING A DIGITAL LICENSE TO A PORTABLE DEVICE OR THE LIKE IN A DIGITAL RIGHTS MANAGEMENT (DMR) SYSTEM AND CHECKING OUT/CHECKING IN THE DIGITAL LICENSE TO/FROM THE PORTABLE DEVICE OR THE LIKE**

DATE OF DEPOSIT:

March 15 2002

I HEREBY CERTIFY THAT THIS PAPER IS BEING DEPOSITED WITH THE UNITED STATES POSTAL SERVICE AS FIRST CLASS MAIL, POSTAGE PREPAID ON THE DATE INDICATED ABOVE AND IS ADDRESSED TO THE ASSISTANT COMMISSIONER FOR PATENTS, WASHINGTON, DC 20231.

TYPED NAME: Steven H. Meyer
REGISTRATION NO.: 37,189

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Assistant Commissioner for Patents
Washington, D.C. 20231

Dear Sir:

INFORMATION DISCLOSURE STATEMENT

Pursuant to 37 C.F.R. §1.56 and in accordance with 37 C.F.R. §§1.97-1.98, information relating to the above-identified application is hereby disclosed. Inclusion of information in this statement is not to be construed as an admission that this information is material as that term is defined in 37 C.F.R. §1.56(b).



In accordance with §1.97(b), since this Information Disclosure Statement is being filed either within three months of the filing date of the above-identified application, within three months of the date of entry into the national stage of the above identified application as set forth in §1.491, before the mailing date of a first Office Action on the merits of the above-identified application, or before the mailing date of a first office action after the filing of request for continued examination under §1.114, no additional fee is required.

☐ In accordance with §1.129(a), this Information Disclosure Statement is being filed in connection with ☐the first or ☐second After Final Submission, therefore:

☐ Certification in Accordance with §1.97(e) is attached; or

☐ The fee of \$180.00 as set forth in §1.17(p) is attached.

☐ In accordance with §1.97(c), this Information Disclosure Statement is being filed after the period set forth in §1.97(b) above but before the mailing date of either a Final Action under §1.113 or a Notice of Allowance under §1.311, or before an action that otherwise closes prosecution in the application, therefore:

☐ Certification in Accordance with §1.97(e) is attached; or

☐ The fee of \$180.00 as set forth in §1.17(p) is attached.

☐ In accordance with §1.97(d), this Information Disclosure Statement is being filed after the mailing date of either a Final Action under §1.113 or a Notice of Allowance under §1.311 but before, or simultaneously with, the payment of the Issue Fee, therefore included are: Certification in Accordance with §1.97(e); and the submission fee of \$180.00 as set forth in §1.17(p).

☐ Copies of each of the references listed on the attached Form PTO-1449 are enclosed herewith.

☒ Copies of references listed on the attached Form PTO-1449 are enclosed herewith.

EXCEPT THAT:

☐ In view of the voluminous nature of references [list as appropriate], and the likelihood that these references are available to the Examiner, copies are not enclosed herewith.

☒ In accordance with §1.98(d), copies of the following references listed on the attached Form PTO-1449 are not enclosed herewith because they were previously cited by or submitted to the U.S. Patent and Trademark Office in patent application(s) for which a claim for priority under 35 U.S.C. §120 have been made in the instant application:

☒ Copies of references AA-BI, BN-DB, DD-DG listed on the attached Form PTO-1449 were previously cited by or submitted to the Patent and Trademark Office in prior application Serial No. 09/290,363, filed April 12, 1999; copy of reference DC listed on the attached Form PTO-1449 was previously cited by or submitted to the Patent and Trademark Office in prior application Serial No. 09/645,887, filed August 25, 2000.

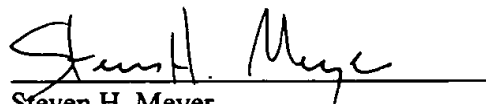
☐ If any of the foregoing publications are not available to the Examiner, Applicant will endeavor to supply copies at the Examiner's request.

Please charge any deficiency or credit any overpayment to Deposit Account No. 23-3050. This form is submitted in duplicate.

There are no listed references which are not in the English language.

Date:

March 15 2002


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Registration No. 37,189

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#2

Sheet 1 of 7

Form PTO-1449 Modified		Docket No. MSFT-0310/ 164266.1	Serial No. 09/892,371 RECEIVED
List of Patent and Publications Cited by Applicant (Use several sheets if necessary)		Applicant Marcus Peinado	
		MAR 27 2002 Technology Center 2100	
U.S. Department of Commerce Patent and Trademark Office		Filing Date June 27, 2001	Group 2182
OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)			
	AA	"Aladdin Knowledge Systems Partners with Rights Exchange, Inc. to Develop a Comprehensive Solution for Electronic Software Distribution," August 3, 1988, 5 pages	
	AB	Amdur, D., "Metering Online Copyright," January 16, 1996, 2 pages	
	AC	Amdur, D. (ed.), "InterTrust Challenges IBM Digital Content Metering," <i>Report On Electronic Commerce</i> , July 23, 1996, 3(15), 1-2 and 16-18	
	AD	Armati, D., "Tools and standards for protection, control and presentation of data," April 3, 1996, 17 pages	
	AE	Benjamin, R. et al., "Electronic markets and virtual value chains on the information superhighway," <i>Sloan Management Rev.</i> , Winter, 1995, 62-72	
	AF	Cassidy, "A Web developers guide to content encapsulation technology," April, 1997, 5 pages	
	AG	Clark, T., "Software Secures Digital Content on Web," <i>Interactive Week</i> , September 25, 1995, 1 page	
	AH	Cox, B., "Superdistribution," <i>Idees Fortes</i> , September, 1994, 2 pages	
	AI	Cox, B., "What if There Is A Silver Bullet," <i>J. Object Oriented Programm.</i> , June, 1992, 8-9 and 76	
	AJ	Griswold, G.N., "A Method for Protecting Copyright on Networks," <i>IMA Intell. Property Project Proceedings</i> , January, 1994, 1(1), 169-178	
	AK	Hauser, R.C., "Does licensing require new access control techniques?" August, 1993, 9 pages	
	AL	Hudgins-Bonafield, C. "Selling Knowledge on the Net," <i>Network Computing</i> , June 1, 1995, 102-109	
	AM	"IBM spearheading intellectual property protection technology for information on the Internet," May, 1996, 3 pages	
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#2

Sheet 2 of 7

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	AN	"Technological Solutions Rise to Complement Law's Small Stick Guarding Electronic Works," <i>Information Law Alert</i> , June 16, 1995, 3-4 and 7	
	AO	Kaplan, M.A., "IBM Cryptolopes_, Super-Distribution and Digital Rights Management," December, 1996, 7 pages	
	AP	Kent, S.T., "Protecting externally supplied software in small computers," September, 1980, 1-42 and 250-252	
	AQ	Kohl, U. et al., "Safeguarding Digital Library Contents and Users; Protecting Documents Rather Than Channels," <i>D-Lib Magazine</i> , September, 1997, 9 pages	
	AR	Linn, R.J., "Copyright and Information Services in the Context of the National Research and Education Network," <i>IMA Intell. Property Project Proceedings</i> , January, 1994, 1(1), 1 and 10-20	
	AS	McNab, L., "Super-distribution works better in practical applications," March 2, 1998, 2 pages	
	AT	Moeller, M., "NetTrust lets Cyberspace Merchants Take Account," <i>PC Week</i> , November 20, 1995, 12(48), 1 page	
	AU	Moeller, M., "IBM takes charge of E-commerce; Plans client, server apps based on SET," April, 1996, 4 pages	
	AV	Pemberton, J., "An ONLINE Interview with Jeff Crigler at IBM InfoMarket," July, 1996, 6 pages	
	AW	"Licenst: kinder, gentler copyright? Copyright management system links content, authorship information," <i>Seybold Report on Desktop Publishing</i> , 1996, 10(11), 2 pages	
	AX	Sibert, O. et al., "The DigiBox: A Self-protecting Container for Information Commerce," <i>First USENIX Workshop on Electronic Commerce</i> , July 11-12, 1995, 171-183	
	AY	Sibert, O. et al., "Securing the Content, Not the Wire, for Information Commerce," July, 1995, 1-11	
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#2

Sheet 3 of 7

Form PTO-1449 Modified List of Patent and Publications Cited by Applicant (Use several sheets if necessary) U.S. Department of Commerce Patent and Trademark Office	Docket No. MSFT-0310/ 164266.1	Serial No. 09/892,371
	Applicant Marcus Peinado	
	Filing Date June 27, 2001	Group 2182

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OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

	AZ	Smith, M.G. et al., "A New Set of Rules For Information Commerce," <i>Electronic Commerce</i> , November 6, 1995 , 34-35
	BA	Stefik, M., "Trusted Systems," March, 1997 , 8 pages
	BB	Stefik, M., "Shifting the Possible: How Trusted Systems and Digital Property Rights Challenge Us to Rethink Digital Publishing," <i>Technical Perspective</i> , 1997 , 137-159
	BC	Tarter, J. (ed.), "The Superdistribution Model," <i>Soft Trends</i> , November 15, 1996 , 3(6), 1-6
	BD	"Rights Management in the Digital Age: Trading in Bits, Not Atoms," Spring, 1997 , 4, 3 pages
	BE	Weber, R., "Digital Right Management Technology," October, 1995 , 35 pages
	BF	White, S.R. et al., "ABYSS: An Architecture for Software Protection," <i>IEEE Trans. On Software Engineering</i> , June, 1990 , 16(6), 619-629
	BG	White, S.R. et al., "ABYSS: A trusted architecture for software protection," <i>IEEE Symposium on Security and Privacy</i> , April 27-29, 1987 , 38-51
	BH	"Boxing Up Bytes," 2 pages
	BI	Ramanujapuram, A. et al., "Digital Content & Intellectual Property Rights: A specification language and tools for rights management," December, 1998 , 20-23 and 26
	BJ	Bird, R., et al., "The kryptoKnight family of light-weight protocols for authentication and key distribution," <i>IEEE</i> , 1995 , 31-41
	BK	Boyl, J.P., et al., "The ESPRIT Project CAFÉ High security digital payment systems," ESORICs, LNCS 875, 1994 , 217-230
	BL	Ishii, S., et al., "2,048-bit public-key encryption processor," <i>NTT Human Interface Labs.</i> , 1998 , 259-267 (Abstract on page 261)

EXAMINER

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#2

Sheet 4 of 7

Form PTO-1449 Modified List of Patent and Publications Cited by Applicant (Use several sheets if necessary) U.S. Department of Commerce Patent and Trademark Office		Docket No. MSFT-0310/ 164266.1	Serial No. 09/892,371
		Applicant Marcus Peinado	
		Filing Date June 27, 2001	Group 2182
OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)			
	BM	Veron, P., "Improved identification schemes based on error-correcting codes," AAECC, 1997, 57-69	
EXAMINER		DATE CONSIDERED	

RECEIVED
MAR 27 2002
Technology Center 2100



#2

Sheet 5 of 7

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	Applicant Marcus Peinado	
	Filing Date June 27, 2001	RECEIVED MAR 27 2002 Technology Center 2100 2182

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	BN	3,718,906	02/27/73	Lightner	340	147 R
	BO	4,323,921	04/06/82	Guillou	358	114
	BP	4,528,643	07/09/85	Freeny, Jr.	364	900
	BQ	4,658,093	04/14/87	Hellman	380	25
	BR	4,683,553	07/28/87	Mollier	380	4
	BS	4,827,508	05/02/89	Shear	380	4
	BT	4,916,738	04/10/90	Chandra et al.	380	25
	BU	4,953,209	08/28/90	Ryder, Sr. et al.	380	23
	BV	4,977,594	12/11/90	Shear	380	4
	BW	5,050,213	09/17/91	Shear	380	25

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Examiner Initial		Document No.	Date	Country	Translation YES NO
	BX	EP 0 715 246 A1	06/05/96	EPO	X
	BY	EP 0 715 247 A1	06/05/96	EPO	X
	BZ	WO 93/01550	01/21/93	PCT	X
	CA	WO 96/13013	05/02/96	PCT	X

EXAMINER	DATE CONSIDERED
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2

Sheet 6 of 7

Form PTO-1449 Modified List of Patent and Publications Cited by Applicant (Use several sheets if necessary) U.S. Department of Commerce Patent and Trademark Office	Docket No. MSFT-0310/ 164266.1	Serial No. 09/892,371
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Technology Center 2100

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	CC	5,103,476	04/07/92	Waite et al.	380	4
	CD	5,109,413	04/28/92	Comerford et al.	380	4
	CE	5,117,457	05/26/92	Comerford et al.	380	3
	CF	5,193,573	03/16/93	Chronister	137	315
	CG	5,222,134	06/22/93	Waite et al.	380	4
	CH	5,319,705	06/07/94	Halter et al.	380	4
	CI	5,410,598	04/25/95	Shear	380	4
	CJ	5,509,070	04/16/96	Schull	380	4
	CK	5,629,980	05/13/97	Stefik et al.	380	4

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Examiner Initial		Document No.	Date	Country	Translation YES	NO
	CL	WO 96/24092	08/08/96	PCT	X	
	CM	WO 96/27155	09/06/96	PCT	X	
	CN	WO 97/25798	07/17/97	PCT	X	
	CO	WO 97/43761	11/20/97	PCT	X	
	CP	WO 98/09209	03/05/98	PCT	X	

EXAMINER

DATE CONSIDERED



#2

Sheet 7 of 7

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	CQ	5,634,012	05/27/97	Stefik et al.	395	239
	CR	5,638,443	06/10/97	Stefik et al.	380	4
	CS	5,673,316	09/30/97	Auerbach et al.	380	4
	CT	5,710,887	01/20/98	Chelliah et al.	395	226
	CU	5,715,403	02/03/98	Stefik	395	244
	CV	5,765,152	06/09/98	Erickson	707	9
	CW	5,809,144	09/15/98	Sirbu et al.	380	25
	CX	5,845,281	12/01/98	Benson et al.	707	9
	CY	5,934,422	08/09/99	Steed	188	318
	CZ	5,982,891	11/09/99	Ginter, et al.	705	54
	DA	6,006,332	12/2199	Rabne, et al.	713	201
	DB	6,112,181	08/29/00	Shear, et al.	705	1
	DC	09/645,887	Leung, et al.	08/25/00		

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	DD	WO 98/10381	3/12/98	PCT		
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	DF	WO 98/24037	06/04/98	PCT		
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